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UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/812,711	03/19/2001	Karol Renau	RENAU-54531

24201
FULWIDER PATTON LEE & UTECHT, LLP
HOWARD HUGHES CENTER
6060 CENTER DRIVE
TENTH FLOOR
LOS ANGELES, CA 90045

CONFIRMATION NO. 9716

FORMALITIES LETTER



OC00000006020141

06/28/2001 TV0111 00000011 062425 09812711

01 FC:203 342.00 OP
02 FC:205 56.00 CH 9.00 OP

Date Mailed: 04/30/2001

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NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

Adjustment date: 06/28/2001 TV0111
06/06/2001 HVUONG1 00000081 09812711
02 FC:203

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$1244.
 - \$684 for 38 total claims over 20.
 - \$560 for 7 independent claims over 3.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 2084.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

06/06/2001 HVUONG1 00000081 09812711
01 FC:201 355.00 OP
02 FC:203 351.00 OP
03 FC:202 280.00 OP

A copy of this notice MUST be returned with the reply.

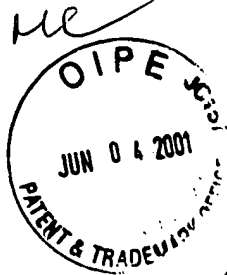


Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

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Section 4

Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (6-98)
Approved for use through 09/30/2000. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	09/812,711
	Filing Date	March 19, 2001
	First Named Inventor	Karol Renau
	Group Art Unit	3743
	Examiner Name	
Total Number of Pages in This Submission	6	Attorney Docket Number RENA-54531

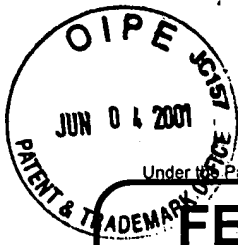
ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input checked="" type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	Postcard PTO-1619
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	
<input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Howard N. Sommers
Signature	
Date	

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 5/31/01			
Typed or printed name	Howard N. Sommers		
Signature	Howard N. Sommers	Date	5/31/01

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT	(\$)	1026.00
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Complete if Known	
Application Number	09/812,711
Filing Date	March 19, 2001
First Named Inventor	Renau, Karol
Examiner Name	
Group Art Unit	
Attorney Docket No.	RENAU-54531

METHOD OF PAYMENT	
1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:	
Deposit Account Number	06-2425
Deposit Account Name	Fulwider Patton
<input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27	

2. <input checked="" type="checkbox"/> Payment Enclosed:	
<input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other	

FEE CALCULATION						
1. BASIC FILING FEE						
Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid	
101	710	201	355	Utility filing fee	355	
106	320	206	160	Design filing fee		
107	490	207	245	Plant filing fee		
108	710	208	355	Reissue filing fee		
114	150	214	75	Provisional filing fee		
SUBTOTAL (1)					(\$)	355.00

2. EXTRA CLAIM FEES									
Total Claims	59	-20** =	39	x	Fee from below	9	=	Fee Paid	351
Independent Claims	10	-3** =	7	x	40	=	280		
Multiple Dependent									
Large Entity Small Entity									
Fee Code (\$)	Fee Code (\$)	Fee Code (\$)	Fee Code (\$)	Fee Description					
103	18	203	9	Claims in excess of 20					
102	80	202	40	Independent claims in excess of 3					
104	270	204	135	Multiple dependent claim, if not paid					
109	80	209	40	** Reissue independent claims over original patent					
110	18	210	9	** Reissue claims in excess of 20 and over original patent					
SUBTOTAL (2)					(\$)	631.00			

*or number previously paid, if greater; For Reissues, see above

3. ADDITIONAL FEES									
Fee Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid				
105	130	205	65	Surcharge - late filing fee or oath					
127	50	227	25	Surcharge - late provisional filing fee or cover sheet					
139	130	139	130	Non-English specification					
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination					
112	920*	112	920*	Requesting publication of SIR prior to Examiner action					
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action					
115	110	215	55	Extension for reply within first month					
116	390	216	195	Extension for reply within second month					
117	890	217	445	Extension for reply within third month					
118	1,390	218	695	Extension for reply within fourth month					
128	1,890	228	945	Extension for reply within fifth month					
119	310	219	155	Notice of Appeal					
120	310	220	155	Filing a brief in support of an appeal					
121	270	221	135	Request for oral hearing					
138	1,510	138	1,510	Petition to institute a public use proceeding					
140	110	240	55	Petition to revive - unavoidable					
141	1,240	241	620	Petition to revive - unintentional					
142	1,240	242	620	Utility issue fee (or reissue)					
143	440	243	220	Design issue fee					
144	600	244	300	Plant issue fee					
122	130	122	130	Petitions to the Commissioner					
123	50	123	50	Processing fee under 37 CFR 1.17(q)					
126	180	126	180	Submission of Information Disclosure Stmt					
581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00				
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))					
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))					
179	710	279	355	Request for Continued Examination (RCE)					
169	900	169	900	Request for expedited examination of a design application					
Other fee (specify)									
*Reduced by Basic Filing Fee Paid									
SUBTOTAL (3)					(\$)	40.00			

SUBMITTED BY				Complete (if applicable)	
Name (Print/Type)	Howard N. Sommers	Registration No. (Attorney/Agent)	24,138	Telephone	310-824-5555
Signature	Howard N. Sommers	Date	5/21/01		

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I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231, on May 31, 2001.

Howard N. Sommers
Howard N. Sommers, Registration No. 24,138 Date: May 31, 2001

PATENT
Docket No. RENAU-54531

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of)	Examiner: N/A
)	
Inventor: Karol Renau)	Group Art Unit: 3743
)	
Serial Number: 09/812,711)	Confirmation No: 9716
)	
Filing Date: March 19, 2001)	Docket No: RENAU-54531
)	
For: FLUID HEAT EXCHANGING SYSTEM AND METHOD)	Date: May 31, 2001
)	

SUBMISSION OF MISSING PARTS OF APPLICATION

Commissioner for Patents
Washington, D.C. 20231
Attn: BOX MISSING PARTS

Dear Sir:

In response to the NOTICE TO FILE MISSING PARTS OF APPLICATION
Filed Under 37 CFR 1.53(b) - FILING DATE GRANTED, mailed April 30, 2001 (copy
attached), applicant submits herewith an executed DECLARATION AND POWER OF
ATTORNEY FOR PATENT APPLICATION for the above-identified application.

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Since applicant is a small entity, the required fees have been reduced to reflect the small entity fees. Our check in the amount of \$1,026.00 is attached to cover the payment of the filing and additional claims fees.

Respectfully submitted,
FULWIDER PATTON LEE & UTECHT, LLP

By: Howard N. Sommers
Howard N. Sommers
Registration No. 24,138

6060 Center Drive, Tenth Floor
Los Angeles, California 90045
Telephone: (310) 824-5555
Facsimile: (310) 824-9696
Customer No. 24201
[206646.1]

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